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JC849 U.S. PTO

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PTO/SB/05 (11-00)
Approved for use through 10/31/2002. OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

| | |
|------------------------|---|
| Attorney Docket No. | |
| First Inventor | Cung N. Phan |
| Title | In-store Customer Display Device And Method |
| Express Mail Label No. | |

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

- ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
- ☒ Applicant claims small entity status.
See 37 CFR 1.27.
- ☒ Specification [Total Pages **20**]
(preferred arrangement set forth below)
 - Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
- ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets **7**]
- Oath or Declaration [Total Pages **2**]
 - ☒ Newly executed (original or copy)
Copy from a prior application (37 CFR 1.63 (d))
(for continuation/divisional with Box 18 completed)
 - ☐ DELETION OF INVENTOR(S)
Signed statement attached deleting inventor(s)
named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
- ☐ Application Data Sheet. See 37 CFR 1.76

- ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
- Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
 - ☐ Computer Readable Form (CRF)
 - Specification Sequence Listing on:
 - ☐ CD-ROM or CD-R (2 copies); or
 - ☐ paper
 - ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

- ☐ Assignment Papers (cover sheet & document(s))
- ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☐ Power of Attorney
- ☐ English Translation Document (if applicable)
- ☒ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
- ☐ Preliminary Amendment
- ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
- ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
- ☒ Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
- ☐ Other: _____

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

| | | | |
|---|-------------------------------------|---|---|
| <input type="checkbox"/> Continuation | <input type="checkbox"/> Divisional | <input type="checkbox"/> Continuation-in-part (CIP) | of prior application No.: _____ / _____ |
| Prior application information: Examiner _____ | | Group Art Unit: _____ | |

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

| | | | |
|--|---|---|----------------|
| <input type="checkbox"/> Customer Number or Bar Code Label | (Insert Customer No. or Attach bar code label here) | or <input checked="" type="checkbox"/> Correspondence address below | |
| Name | Cung N. Phan | | |
| Address | 5109-C2 East La Palma Avenue | | |
| City | Anaheim | State | CA |
| Country | USA | Zip Code | 92807 |
| Telephone | (714) 701-1600 | Fax | (714) 701-1605 |

| | | | |
|-------------------|--------------|-----------------------------------|----------|
| Name (Print/Type) | CUNG N. PHAN | Registration No. (Attorney/Agent) | |
| Signature | | Date | 12/12/00 |

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

JC825 U.S. PTO
09/736543
12/13/00

FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ 535.00)

Complete if Known

Application Number
Filing Date
First Named Inventor **Cung N. Phan**
Examiner Name
Group Art Unit
Attorney Docket No.

METHOD OF PAYMENT

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:
- Deposit Account Number
Deposit Account Name
- ☐ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
☒ Applicant claims small entity status. See 37 CFR 1.27
2. ☒ Payment Enclosed:
☒ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description | Fee Paid |
|----------------------------|----------------------------|------------------------|----------|
| 101 710 | 201 355 | Utility filing fee | 355 |
| 106 320 | 206 160 | Design filing fee | |
| 107 490 | 207 245 | Plant filing fee | |
| 108 710 | 208 355 | Reissue filing fee | |
| 114 150 | 214 75 | Provisional filing fee | |

SUBTOTAL (1) (\$ 355)

2. EXTRA CLAIM FEES

Total Claims **19** -20** = **0** X **0** = **0**
Independent Claims **2** -3** = **0** X **0** = **0**
Multiple Dependent **0** = **0**

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description |
|----------------------------|----------------------------|--|
| 103 18 | 203 9 | Claims in excess of 20 |
| 102 80 | 202 40 | Independent claims in excess of 3 |
| 104 270 | 204 135 | Multiple dependent claim, if not paid |
| 109 80 | 209 40 | ** Reissue independent claims over original patent |
| 110 18 | 210 9 | ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$ 0)

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description | Fee Paid |
|----------------------------|----------------------------|--|----------|
| 105 130 | 205 65 | Surcharge - late filing fee or oath | |
| 127 50 | 227 25 | Surcharge - late provisional filing fee or cover sheet | |
| 139 130 | 139 130 | Non-English specification | |
| 147 2,520 | 147 2,520 | For filing a request for ex parte reexamination | |
| 112 920* | 112 920* | Requesting publication of SIR prior to Examiner action | |
| 113 1,840* | 113 1,840* | Requesting publication of SIR after Examiner action | |
| 115 110 | 215 55 | Extension for reply within first month | |
| 116 390 | 216 195 | Extension for reply within second month | |
| 117 890 | 217 445 | Extension for reply within third month | |
| 118 1,390 | 218 695 | Extension for reply within fourth month | |
| 128 1,890 | 228 945 | Extension for reply within fifth month | |
| 119 310 | 219 155 | Notice of Appeal | |
| 120 310 | 220 155 | Filing a brief in support of an appeal | |
| 121 270 | 221 135 | Request for oral hearing | |
| 138 1,510 | 138 1,510 | Petition to institute a public use proceeding | |
| 140 110 | 240 55 | Petition to revive - unavoidable | |
| 141 1,240 | 241 620 | Petition to revive - unintentional | |
| 142 1,240 | 242 620 | Utility issue fee (or reissue) | |
| 143 440 | 243 220 | Design issue fee | |
| 144 600 | 244 300 | Plant issue fee | |
| 122 130 | 122 130 | Petitions to the Commissioner | |
| 123 50 | 123 50 | Processing fee under 37 CFR 1.17(q) | |
| 126 180 | 126 180 | Submission of Information Disclosure Stmt | 180 |
| 581 40 | 581 40 | Recording each patent assignment per property (times number of properties) | |
| 146 710 | 246 355 | Filing a submission after final rejection (37 CFR § 1.129(a)) | |
| 149 710 | 249 355 | For each additional invention to be examined (37 CFR § 1.129(b)) | |
| 179 710 | 279 355 | Request for Continued Examination (RCE) | |
| 169 900 | 169 900 | Request for expedited examination of a design application | |

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 180)

SUBMITTED BY

Name (Print/Type) **CUNG N. PHAN**
Signature **[Signature]**

Registration No.
(Attorney/Agent)

Complete (if applicable)

Telephone **(714) 701-1600**
Date **12/12/00**

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

In The United States Patent And Trademark Office

Mailed: December 12, 2000

Box Patent Application
Assistant Commissioner for Patents
Washington, District of Columbia 20231

Sir:

Please file the following enclosed patent application papers:

Applicant Name: Cung N. Phan

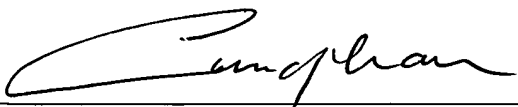
Title: IN-STORE CUSTOMER DISPLAY DEVICE AND METHOD.

- PTO Form SB/05 UTILITY PATENT APPLICATION TRANSMITTAL—1 pg.
- PTO Form SB/01 DECLARATION FOR UTILITY OR DESIGN PATENT APPLICATION—2 pgs.
- PTO Form SB/17 FEE TRANSMITTAL FOR FY 2001—1 pg.
- PTO Form SB/08A INFORMATION DISCLOSURE STATEMENT BY APPLICANT—2 pgs.
- PTO Form SB/35 REQUEST AND CERTIFICATION UNDER 35 U.S.C. 122(b)(2)(B)(i)—1 pg.
- Specifications, Claims, and Abstract—20 pgs.
- Formal Drawings—7 pgs.
- Check #11634 for \$535.00, for:
 - \$355 for Basic Filing Fee (small entity), and
 - \$180 for Submission of Information Disclosure
- Proof of Receipt and Return Receipt Envelope Addressed to Applicant
- Applicant request under MPEP § 707.07(j): the undersigned, a pro se applicant, respectfully requests that if the Examiner finds patentable subject matter disclosed in this application, but feels that Applicant's present claims are not entirely suitable, the Examiner draft one or more allowable claims for Applicant.

Very respectfully,

Address (Send Correspondence Here):

Cung N. Phan
Sales Management Systems, Inc.
5109-C2 East La Palma Ave.
Anaheim, CA 92807



Applicant Signature: Cung N. Phan

Express Mail Label #:

EL526225424US

Date of Deposit: December 12, 2000

PROOF OF RECEIPT

The following received today: _____

Patent Application of **Cung N. Phan** for **"In-Store Customer Display And Device Method,"** consisting of:

- ☐ PTO Form SB/05 UTILITY PATENT APPLICATION TRANSMITTAL—1 pg.
- ☐ PTO Form SB/01 DECLARATION FOR UTILITY OR DESIGN PATENT APPLICATION—2 pgs.
- ☐ PTO Form SB/17 FEE TRANSMITTAL FOR FY 2001—1 pg.
- ☐ PTO Form SB/08A INFORMATION DISCLOSURE STATEMENT BY APPLICANT—2 pgs.
- ☐ PTO Form SB/35 REQUEST AND CERTIFICATION UNDER 35 U.S.C. 122(b)(2)(B)(i)—1 pg.
- ☐ Specifications, Claims, and Abstract—20 pgs.
- ☐ Formal Drawings—7 pgs.
- ☐ Check #11634 for \$535.00

One copy each of:

- ☐ U.S. Patent No. 4,833,308, pgs. 1-4; Fig. 1-2
- ☐ U.S. Patent No. 4,825,045, pgs. 1-4; Fig. 1-2
- ☐ U.S. Patent No. 5,945,975, abstract
- ☐ U.S. Patent No. 5,978,777, pgs. 1-4; Fig. 1-3
- ☐ U.S. Patent No. 4,852,042, pgs. 1-2, 7-8
- ☐ U.S. Patent No. 5,235,509 abstract
- ☐ U.S. Patent No. 6,032,126 pgs. 1-4
- ☐ U.S. Patent No. 6,003,015 pgs. 19-21
- ☐ U.S. Patent No. 4,843,547 abstract

- ☐ MICROSOFT, Hardware Requirements For Multiple Display Support In Windows 98. pgs. 1-4
- ☐ MICROSOFT How to Enable Multiple Display Support Using windows 98. pgs. 1-2
- ☐ INNOVATIVE DISPLAY TECHNOLOGIES ScanVue Price Checker/Verifier with POP Advertising Capabilities. 8 pgs.
- ☐ HYPERCON Epic by Hypercon. 1 pg.
- ☐ JULIE RITZER ROSS Touchscreen. pgs. 55, 58, and 60
- ☐ DEENA M. AMATO-McCOY Putting the Web at the Point of Sale. Pgs. 46-47
- ☐ MICROWARE SYSTEMS CORP Press Release "MobiNetix Chooses Microware Systems Corporation's OS-9 for use in First Web-Enabled Transaction Computer." 2 pgs.
- ☐ VERIFONE Introducing Omni 5200. 1 pg.

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**REQUEST AND CERTIFICATION
UNDER
35 U.S.C. 122(b)(2)(B)(i)**

First Named Inventor **Cung N. Phan**

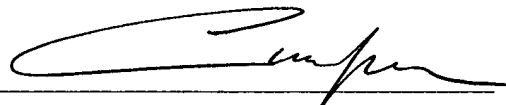
Title **In-store customer display device and method**

Atty Docket Number

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).

12/12/00

Date



Signature

CUNG N. PHAN

Typed or printed name

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**

Burden Hour Statement: This collection of information is required by 37 CFR 1.213(a). The information is used by the public to request that an application not be published under 35 U.S.C. 122(b) (and the PTO to process that request). Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This form is estimated to take 6 minutes to complete. This time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.**